

## NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)

A	Required Filings Contact Person:	Annual & Quarterly Statements: Tracy Cunningham (207) 624-8436 <a href="mailto:tracy.a.cunningham@maine.gov">tracy.a.cunningham@maine.gov</a>	
B	Mailing Address:	<u>Regular Mail:</u> Maine Bureau of Insurance Financial Analysis Division #34 State House Station Augusta, ME 04333-0034	<u>Courier:</u> Maine Bureau of Insurance Financial Analysis Division 124 Northern Avenue Gardiner, ME 04345
C	Mailing Address for Filing Fees:	Annual Statement filing fees will be billed on or before July 1 of each year. DO NOT send fees at this time. If the domestic company has elected to pay examination assessment fees based on Title 24-A, M.R.S.A., § 228 (3), please include your payment with the filing of your annual statement. If you have any questions with regards to the exam fees, please contact Stuart Turney (207) 624-8468 or Email <a href="mailto:stuart.e.turney@maine.gov">stuart.e.turney@maine.gov</a>	
D	Mailing Address & Contact for Premium Tax Payments, Questions & Forms:	Maine Revenue Services, PO Box 9120, Augusta, ME 04333-9120, Phone: Carlotta Larrabee (207) 624-9753. <a href="http://www.maine.gov/revenue/forms/insurance/2007.htm">http://www.maine.gov/revenue/forms/insurance/2007.htm</a>	
E	Delivery Instructions:	All filings must be postmarked no later than the indicated due date. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.	
F	Late Filings:	Foreign companies must supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing due date to receive such from Maine. <b>Domestic companies should apply at least 30 days prior to the due date.</b>	
G	Original Signatures:	Original signatures required on <u>all filings</u> from <u>Domestic Companies</u> . Foreign companies should follow the instructions in the NAIC Annual Statement instructions.	
H	Signature/Notarization/Certification:	The following officers are required to sign the annual statement: CEO, President, & Treasurer for domestic companies.	
I	Amended Filings:	The following items must be filed within 10 days of their amendment, along with an explanation of the amendments. *Bylaws (certified) \$25.00 filing fee, *Articles \$25.00 filing fee, *Biographical Affidavits (domestics only) <b>Domestic Form B Statements are Due 5/1.</b> Form B Holding Company Registration Statement amendments are due on the 15th of the month following the change.  <u>CHECK PAYABLE TO TREASURER STATE OF MAINE</u>  *As changes occur.	
J	Exceptions from normal filings:	<ul style="list-style-type: none"> <li>Foreign companies must supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing due date to receive such from Maine. Domestic companies should apply at least 30 days prior to the due date.</li> <li>Foreign or alien insurers are only required to file an Annual Statement at the request of the Superintendent of Insurance.</li> </ul>	
K	Bar Codes (State or NAIC)	Not Used	
L	Signed Jurat	Signed Jurat pages are NOT required for foreign or alien insurers. They are required for domestic insurers.	
M	NONE Filings:	Supplemental exhibits & schedules as listed in the annual statement interrogatories are not required to be filed if your response in the supplemental exhibits & schedules interrogatories is a "NONE" report.	
N	Filings new, discontinued, modified since last year:	<p>➤ <u>Consumer Complaint Contact Update – New Filing</u>  For Life/Accident/Health/Annuity/Credit Insurance, contact Lisa Lewis at (207)624-8417 or by email at <a href="mailto:lisa.a.lewis@maine.gov">lisa.a.lewis@maine.gov</a>  For Property/Casualty Insurer, contact Cynthia Willey at (207)624-8423 or by email at <a href="mailto:cynthia.l.willey@maine.gov">cynthia.l.willey@maine.gov</a>  <i>Applies to all Property/Casualty, Life, Accident, Health, Annuity and Credit Insurers.</i>  <a href="http://www.maine.gov/pfr/insurance/forms/word/CompanyComplaintContact.doc">http://www.maine.gov/pfr/insurance/forms/word/CompanyComplaintContact.doc</a> (Word)  <a href="http://www.maine.gov/pfr/insurance/forms/pdf/CompanyComplaintContact.pdf">http://www.maine.gov/pfr/insurance/forms/pdf/CompanyComplaintContact.pdf</a> (PDF)</p> <p>➤ <u>Reasonableness of Assumptions Certification</u>  Reasonableness &amp; Consistency of Assumptions Certification  For the above, contact Kendra Godbout at (207)-624-8495 or electronically to <a href="mailto:kendra.l.godbout@maine.gov">kendra.l.godbout@maine.gov</a>  <i>Actuarial certifications required for equity indexed annuities as found in Actuarial Guideline XXXV, Appendix C of the Accounting Practices and Procedures Manual</i></p> <p>➤ <u>Reasonableness of Assumptions Certifications for Implied Guaranteed Rate Method</u>  Reasonableness &amp; Consistency of Assumptions Certification (Updated Average Market Value)  Reasonableness &amp; Consistency of Assumptions Certification (Updated Market Value)  For all of the above, contact Kendra Godbout at (207)-624-8495 or electronically to <a href="mailto:kendra.l.godbout@maine.gov">kendra.l.godbout@maine.gov</a>  <i>Actuarial certifications required for equity indexed life insurance policies as found in Actuarial Guideline XXXVI, Appendix C of the Accounting Practices and Procedures Manual.</i></p>	
O	Required by the State of Maine <b>Should be filed separately from the annual statement</b>	<p>➤ <u>Advertising Certification</u> required under Maine Rule 140 §11(B): Karma Lombard, (207) 624-8540, Send certificates electronically to <a href="mailto:karma.y.lombard@maine.gov">karma.y.lombard@maine.gov</a>. <i>Applies to all companies writing Health.</i>  <a href="http://www.maine.gov/sos/cec/rules/02/031/031c140.doc">http://www.maine.gov/sos/cec/rules/02/031/031c140.doc</a></p> <p>➤ <u>Annual Report Supplement (Rule 945)</u> : Marti Hooper (207) 624-8449, electronically to <a href="mailto:mary.m.hooper@maine.gov">mary.m.hooper@maine.gov</a>  <i>Applies to all companies writing or renewing medical or stop loss health insurance. NULL reports need not be submitted. Due Date is March 1<sup>st</sup>.</i>  Rule 945 Reporting Forms:  <a href="http://www.maine.gov/pfr/insurance/forms/excel/Rule945.xls">http://www.maine.gov/pfr/insurance/forms/excel/Rule945.xls</a> - for companies with \$2 million or more in premium  <a href="http://www.maine.gov/pfr/insurance/forms/excel/Rule945_short.xls">http://www.maine.gov/pfr/insurance/forms/excel/Rule945_short.xls</a> - for companies with less than \$2 million in premium</p> <p>➤ <u>Carrier Reporting Form</u> (formally the Administrative Services Only Claims Report) {24-A M.R.S.A. § 4302(4)}:  Marti Hooper (207) 624-8449, electronically to <a href="mailto:mary.m.hooper@maine.gov">mary.m.hooper@maine.gov</a>  <i>All insurance carriers with a HEALTH authority must file with the Superintendent of the Maine Bureau of Insurance by February 1<sup>st</sup>.</i>  Carrier self-funded ERISA claims reporting by plan sponsor.  <a href="http://www.maine.gov/pfr/insurance/forms/word/Carrier_Reporting_Form.doc">http://www.maine.gov/pfr/insurance/forms/word/Carrier_Reporting_Form.doc</a> (Microsoft Word)  <a href="http://www.maine.gov/pfr/insurance/forms/pdf/Carrier_Reporting_Form.pdf">http://www.maine.gov/pfr/insurance/forms/pdf/Carrier_Reporting_Form.pdf</a> (Adobe Acrobat)</p>	

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- Downstream Risk Arrangement Disclosure required under §4336 B(2): Kendra L. Godbout, (207) 684-8495, electronically at [kendra.l.godbout@maine.gov](mailto:kendra.l.godbout@maine.gov) *Applies to Health Maintenance Organizations.*
  
- Filing Fees: Ingrid Garand (207) 624-8465 [ingrid.e.garand@maine.gov](mailto:ingrid.e.garand@maine.gov)  
*Fees will be billed on or before July 1 of each year. DO NOT send fees at this time*
  
- Health Insurance Annual Data Report (Rule 940): Marti Hooper (207) 624-8449, electronically to [mary.m.hooper@maine.gov](mailto:mary.m.hooper@maine.gov) *Applies to all companies writing or renewing small group or individual Medical Insurance. Null reports need not be submitted. Due Date is April 30<sup>th</sup>.*  
 Rule 940 Reporting Form: <http://www.maine.gov/pfr/insurance/forms/excel/Rule940Report.xls>  
 Rule 940: <http://www.maine.gov/sos/cec/rules/02/031/031c940.doc>
  
- Health Report Card Survey: Joanne Rawlings-Sekunda, (207) 624-8472, electronically to [joanne.rawlings-sekunda@maine.gov](mailto:joanne.rawlings-sekunda@maine.gov) *Applies to all companies with enrollees in health insurance at any point during 2007*  
 Health Report Card Survey Form: [http://www.maine.gov/pfr/insurance/forms/word/report\\_card\\_survey\\_form.doc](http://www.maine.gov/pfr/insurance/forms/word/report_card_survey_form.doc) (Word)  
[http://www.maine.gov/pfr/insurance/forms/pdf/report\\_card\\_survey\\_form.pdf](http://www.maine.gov/pfr/insurance/forms/pdf/report_card_survey_form.pdf) (PDF)
  
- Liquor Liability Report: Thomas Michaud (207) 624-8440, electronically to [thomas.r.michaud@maine.gov](mailto:thomas.r.michaud@maine.gov) *Applies to all Property and Casualty Companies.*  
 Liquor Liability Form: <http://www.maine.gov/pfr/insurance/forms/word/liquor.doc> (Word)  
<http://www.maine.gov/pfr/insurance/forms/pdf/liquor.pdf> (PDF)
  
- Maine Fraud and Abuse Annual Report: Kelly E. Rogers (207) 624-8438, electronically to [kelly.e.rogers@maine.gov](mailto:kelly.e.rogers@maine.gov) *Applies to all companies and Electronic Submissions are Encouraged.*  
 Maine Fraud and Abuse Annual Report Form:  
[http://www.maine.gov/pfr/insurance/forms/fraud\\_report\\_instructions.htm](http://www.maine.gov/pfr/insurance/forms/fraud_report_instructions.htm)
  
- Managing General Agent Report: Barbra Garboski (207) 624-8489, electronically to [barbra.l.garboski@maine.gov](mailto:barbra.l.garboski@maine.gov) *Applies to only those companies utilizing an MGA.*  
 Managing General Agent Reporting Form:  
<http://www.maine.gov/pfr/insurance/producer/word/AnnualMGAReportingForm.doc> (Word)  
<http://www.maine.gov/pfr/insurance/producer/pdf/AnnualMGAReportingForm.pdf> (PDF)
  
- Mandated Benefit Experience Report: Marti Hooper (207) 624-8449, electronically to [mary.m.hooper@maine.gov](mailto:mary.m.hooper@maine.gov) *Applies to all companies writing or renewing Health. NULL reports need not be submitted. Due Date is April 30<sup>th</sup>.*  
 Mandated Benefit Experience Reporting Form:  
[http://www.maine.gov/pfr/insurance/forms/excel/mandated\\_benefits.xls](http://www.maine.gov/pfr/insurance/forms/excel/mandated_benefits.xls)  
 Mandated Benefit Experience Bulletin: <http://www.maine.gov/pfr/insurance/bulletins/292.htm>
  
- Supplemental Compensation Exhibit: Tracy Cunningham (207) 624-8436 [tracy.a.cunningham@maine.gov](mailto:tracy.a.cunningham@maine.gov)  
*Due March 1<sup>st</sup>. Forms can be sent with the Annual Statement or separately.*
  
- Supplemental Health Insurance Report: Marti Hooper (207) 624-8449, electronically to [mary.m.hooper@maine.gov](mailto:mary.m.hooper@maine.gov) *Applies to all companies writing or renewing Health. NULL reports need not be submitted. Due Date is April 1<sup>st</sup>.*  
 Supplemental Health Reporting Form:  
<http://www.maine.gov/pfr/insurance/forms/excel/SuppHealthPremiumForm.xls>  
 Supplemental Health Bulletin: <http://www.maine.gov/pfr/insurance/bulletins/286a.htm>
  
- Workers Compensation Benefits Report: Thomas Michaud (207) 624-8440, electronically to [thomas.r.michaud@maine.gov](mailto:thomas.r.michaud@maine.gov) *Applies to all companies writing workers' compensation*  
 Workers Compensation Paid Benefits Report Form: <http://www.maine.gov/pfr/insurance/forms/word/wcbenefit.doc>  
<http://www.maine.gov/pfr/insurance/forms/pdf/wcbenefit.pdf>